

10/19/01  
U.S. PTO

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Please type a plus sign (+) inside this box [+] 10/19/01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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1C715 U.S. PTO  
10/00/01030

10/19/01

**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 042390P12966  
(maximum 12 characters)

First Named Inventor Shlomo Ovadia

Title: METHOD AND APPARATUS OF A SEMICONDUCTOR-BASED TUNABLE OPTICAL DISPERSION COMPENSATION SYSTEM WITH MULTIPLE CHANNELS

Express Mail Label No. EL861981480US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 32)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 6)
5.  Oath or Declaration (Total Pages 6)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting  
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)  
and 1.33(b).
    - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  **Assignment Papers (c ver sheet & d cuments(s))**
10. \_\_\_\_\_ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
- \_\_\_\_\_ b. Power of Attorney
11. \_\_\_\_\_ English Translation Document (if applicable)
12.  a. Information Disclosure Statement (IDS)/PTO-1449
- b. Copies of IDS Citations
13. \_\_\_\_\_ **Preliminary Amendment**
14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. \_\_\_\_\_ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. \_\_\_\_\_ **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17.  Other: separate sheet with title, express mail label, copy of postcard and attorney's signature

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation       Divisional       Continuation-in-part (CIP)  
Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**For CONTINUATION AND DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is  
the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an  
assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_  
(or a copy of which is attached).

**19. Correspondence Address**

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below

NAME James Y. Go

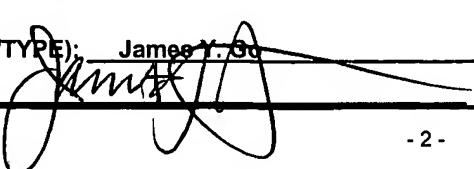
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606

Name (PRINT/TYPE): James Y. Go Registration No.: 40,621  
Signature:  Date: 10-19-01

**FEE TRANSMITTAL FOR FY 2001****TOTAL AMOUNT OF PAYMENT (\$)** \$978.00**Complete if Known:**Application No. New ApplicationFiling Date HerewithFirst Named Inventor Shlomo OvadiaGroup Art Unit Not Yet AssignedExaminer Name Not Yet AssignedAttorney Docket No. 042390P12966**METHOD OF PAYMENT** (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name \_\_\_\_\_

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Credit Card  
 Money Order  
 Other

**FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
101	710	201	355
106	320	206	160
107	490	207	245
108	710	208	355
114	150	214	75
		Utility application filing fee	<u>740.00</u>
		Design application filing fee	_____
		Plant filing fee	_____
		Reissue filing fee	_____
		Provisional application filing fee	_____

SUBTOTAL (1) \$ 740.00**2. EXTRA CLAIM FEES**

	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>31</u>	<u>- 20** = 11</u>	X <u>18.00</u> = <u>198.00</u>
Independent Claims	<u>3</u>	<u>- 3** = 0</u>	X <u>84.00</u> = <u>0.00</u>
Multiple Dependent			= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

**Large Entity Small Entity**

<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee Description</u>
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Indep dent claims in xcess f 3
104	270	204	135	Multipl d pendent claim, if n t paid
109	80	209	40	**Reissu indep dent claims over original patent
110	18	210	9	**R issu claims in exc ss f 20 and ver riginal patent

SUBTOTAL (2) \$ 198.00**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Larg Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>F Paid</u>
Fee	Fee	Fee	
Cod	(\$)	C de	(\$)
105	130	205	65
127	50	227	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee or cover sheet
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			Non-English specification
			For filing a request for ex parte reexamination
			Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*
			Requesting publication of SIR after Examiner action
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	130	123	130
126	180	126	180
581	40	581	40
			Recording each patent assignment per property (times number of properties) <b>40.00</b>
146	710	246	355
			For filing a submission after final rejection (see 37 CFR 1.129(a))
149	710	249	355
			For each additional invention to be examined (see 37 CFR 1.129(b))
179	710	279	355
169	900	169	900
			Request for Continued Examination (RCE)
			Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

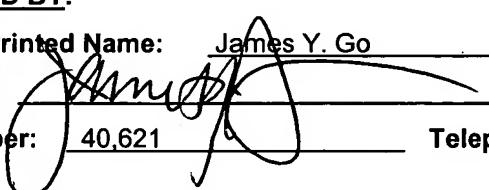
Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: James Y. Go

Signature: 

Date: 10-19-01

Reg. Number: 40,621

Telephone Number: (206) 292-8600

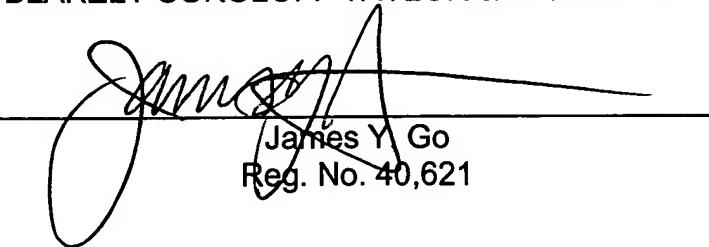
WARNING: Information in this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**METHOD AND APPARATUS OF A SEMICONDUCTOR-BASED TUNABLE  
OPTICAL DISPERSION COMPENSATION SYSTEM WITH MULTIPLE  
CHANNELS**

Inventors: Shlomo Ovadia *et al.*

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP

  
 James Y. Go  
 Reg. No. 40,621

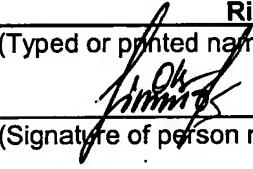
"Express Mail" mailing label number: EL861981480US

Date of Deposit: October 19, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Rimma N. Oks

(Typed or printed name of person mailing paper or fee)

  
10-19-01

(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.: New Application Filing/Issue Date: Herewith

Client: Intel Corporation

Title: METHOD AND APPARATUS OF A SEMICONDUCTOR-BASED TUNABLE OPTICAL  
DISPERSION COMPENSATION SYSTEM WITH MULTIPLE CHANNELS

bstz File No.: 042390P12966 Atty/Secty Initials: JYG/rno

Date Mailed: October 19, 2001 Docket Due Date:

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Amendment/Response (____ pgs.)                                       | <input checked="" type="checkbox"/> Express Mail No. <u>EL861981480US</u>               | <input checked="" type="checkbox"/> Check No. <u>0001730</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                             | <input type="checkbox"/> _____ Month(s) Extension of Time                               | Amt: <u>\$978.00</u>   |
| <input checked="" type="checkbox"/> Application - Utility (32 pgs., with cover and abstract)  | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO-149 (5 pgs.) | <input type="checkbox"/> Check No. _____                     |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                  | <input type="checkbox"/> Issue Fee Transmittal  | Amt: _____   |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                    | <input type="checkbox"/> Notice of Appeal   |  |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)                           | <input type="checkbox"/> Petition for Extension of Time                                 |  |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)               | <input type="checkbox"/> Petition for _____   |  |
| <input type="checkbox"/> Application - Design (____ pgs.)                                     | <input checked="" type="checkbox"/> Postcard  |  |
| <input type="checkbox"/> Application - PCT (____ pgs.)  | <input type="checkbox"/> Power of Attorney (____ pgs.)                                  |  |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                | <input type="checkbox"/> Preliminary Amendment (____ pgs.)                              |  |
| <input checked="" type="checkbox"/> Assignment and Cover Sheet                                | <input type="checkbox"/> Reply Brief (____ pgs.)  |  |
| <input checked="" type="checkbox"/> Certificate of Mailing                                    | <input type="checkbox"/> Response to Notice of Missing Parts                            |  |
| <input checked="" type="checkbox"/> Declaration & POA (6 pgs.)                                | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business    |  |
| <input type="checkbox"/> Disclosure Docs & Qig & Copy of Inventor's Signed Letter (____ pgs.) | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate                    |  |
| <input checked="" type="checkbox"/> Drawings: <u>6</u> # of sheets includes <u>6</u> figures  | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate                       |  |

Other: \* separate sheet with title, express mail label, copy of postcard, and attorney's signature; \* copies of (6) IDS cited references